

Subject: **Performance Evaluation**

Applies to: All University Staff (individuals who are represented by a collective bargaining unit should refer to their agreement.)

I. **Policy:** All University staff will receive a written performance evaluation complemented by an individual performance evaluation meeting, at least annually. The principal purpose of the performance evaluation is to provide two-way communication between a supervisor and an employee about the individual's work performance and to establish goals for the upcoming year. Performance evaluation also may provide a basis for salary changes, promotions, or other changes.

II. **Guidelines:**

A. The employee should be offered the opportunity to prepare a self-evaluation prior to the performance evaluation meeting. The supervisor also prepares an evaluation, and the two are compared and discussed during the meeting. The meeting should be conducted in private at a time which allows adequate review without interruption. The employee also may be requested to obtain (or may obtain on his/her own initiative) feedback on his/her performance from peers, patients, subordinates, any manager, or customers with whom the employee routinely interacts.

The employee should be given an opportunity to see and comment on the evaluation. In those circumstances where there are unresolved differences regarding performance between the employee and supervisor, the employee should be encouraged to comment in writing on the evaluation form or in a separate document. If an employee chooses not to sign the performance evaluation, the supervisor should note this on the form and indicate the date the performance evaluation meeting was conducted. A copy of the performance evaluation should be given to the employee.

B. **Timing of Performance Evaluation:**

1. **Nonexempt Staff:** For those in nonexempt hourly paid job classifications a formal written evaluation should be prepared upon successful completion of the probationary period and as part of the annual wage and salary program thereafter.
2. **Professional, Administrative and Supervisory (PAS) Staff (including those paid hourly):** Ongoing feedback should be provided after appointment, promotion, or transfer to a new assignment with a formal performance review within the first year of employment and as part of the annual wage and salary program thereafter.
3. **Probationary Staff** should be given feedback and/or counseling throughout their probationary period if not meeting expectations. See Policy 169, III.D.

4. When an employee is not actively working at the time annual reviews are conducted, the performance evaluation should be completed, but the performance review may be delayed until their return. In any other circumstances for which a supervisor is considering a delay in conducting a performance review, consultation with Human Resources must occur.
- C. Content of Evaluations: Supervisors must rate, and comments in the performance evaluation should focus on, observable, measurable job-related (and job-specific) competencies, along with an evaluation of behavioral competencies. Supervisors should comment on both positive and negative aspects of performance, including giving credit for good work and noting any areas needing improvement. If performance needs improvement in certain areas, the evaluation should include specific examples of the ways in which performance is not adequate (including behaviorally) and the supervisor should make clear what is expected to bring the employee's performance to a satisfactory level. If an individual has already been counseled or spoken to on multiple occasions throughout the year, a written performance improvement plan which identifies the continuing deficiencies, the timeframe for improvement, and expected outcomes and consequences of failure to meet those outcomes should be developed and implemented, in consultation with Human Resources.
  - D. Because the performance evaluation is an ongoing **review** and assessment of performance, nothing in the review should be a surprise to the employee being evaluated. Therefore, performance and behavioral expectations should be discussed on an ongoing basis throughout the year (whether initiated by the employee or supervisor). If a particular performance problem was not addressed prior to the evaluation, it should not be factored into the overall rating. In addition, unless particularly egregious, a single incident of a performance deficiency especially at the beginning or end of the evaluation period should not be allowed to outweigh an otherwise satisfactory performance.
  - E. The assessments of all persons contributing to an employee's performance evaluation should be included before the evaluation is presented to the employee.
  - F. The University's wage and salary program is performance-based, and therefore a current performance evaluation must be provided to support each employee's annual salary change recommendation.

### III. Procedures:

- A. Performance evaluation forms are available on the Human Resources web site at <http://www.rochester.edu/working/hr/performancemgt/>.
- B. Performance evaluation documents for all employees not documented in My Path should be routed from Supervisor to Department Head or Administrator, to Dean or Director, then to the Employee Records, PO Box 278829 where they are filed as part of the employee's permanent record. A copy also should be maintained in the employee's departmental personnel record.